

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

0039-7292-2 DIV

First Inventor or Application Identifier

KAORI UMEZAWA

Title

SUBSTRATE HAVING SHALLOW TRENCH ISOLATION AND METHOD OF  
MANUFACTURING THE SAME

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☒ Specification

Total Pages

42

3. ☒ Drawing(s) (35 U.S.C. 113)

Total Sheets

15

4. ☒ Oath or Declaration

Total Pages

4

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 15 completed)

i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named  
in the prior application, see 37 C.F.R. §1.63(d)(2) and  
1.33(b).

5. ☒ Incorporation By Reference (usable if box 4B is checked)

The entire disclosure of the prior application, from which a copy of the  
oath or declaration is supplied under Box 4B, is considered to be part  
of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

ACCOMPANYING APPLICATION PARTS

6. ☒ Assignment Recorded at Reel 8340, Frame 0181

7. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney

8. ☐ English Translation Document (if applicable)

9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

10. ☒ Preliminary Amendment

11. ☒ White Advance Serial No. Postcard

12. ☐ Small Entity Statement(s) ☐ Statement filed in prior application. Status still proper and desired.

13. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

14. ☒ Other: REQUEST FOR PRIORITY

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation

☒ Divisional

☐ Continuation-in-part (CIP)

of prior application no.: 08/751,438

Prior application information:

Examiner: GUAY

Group Art Unit: 2814

16. Amend the specification by inserting before the first line the sentence:

☒ This application is a ☐ Continuation ☒ Division ☐ Continuation-in-part (CIP)  
of application Serial No. 08/751,438 Filed on 11/20/96

☐ This application claims priority of provisional application Serial No.

Filed

17. CORRESPONDENCE ADDRESS

OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.  
FOURTH FLOOR  
1755 JEFFERSON DAVIS HIGHWAY  
ARLINGTON, VIRGINIA 22202  
(703) 413-3000  
FACSIMILE: (703) 413-2220

Name:

Gregory J. Maier  
Attorney of Record

Registration No.:

25,599

Signature:

*Raymond F. Cardillo, Jr.*

Date:

7/21/99

Name:

Raymond F. Cardillo, Jr.

Registration No.:

40,440

Docket No. 0039-5884-2 DIV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTOR(S) KAORI UMEZAWA, ET AL.

SERIAL NO: NEW DIV APPLICATION

FILING DATE: HEREWITH

FOR: SUBSTRATE HAVING SHALLOW TRENCH ISOLATION AND METHOD OF MANUFACTURING THE SAME



**FEE TRANSMITTAL**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	15 - 20 =	0	× \$18 =	\$0.00
INDEPENDENT CLAIMS	3 - 3 =	0	× \$78 =	\$0.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$260 =	\$0.00
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00
BASIC FEE				\$760.00
TOTAL OF ABOVE CALCULATIONS				\$760.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$760.00

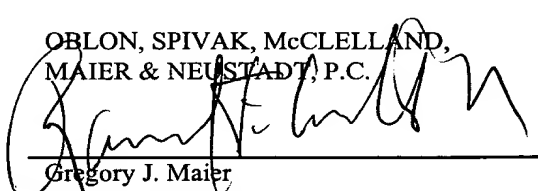
- ☐ Please charge Deposit Account No. 15-0030 in the amount of \_\_\_\_\_ A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$760.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Date: 7/21/99

Fourth Floor  
1755 Jefferson Davis Highway  
Arlington, Virginia 22202  
Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/98)

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
\_\_\_\_\_  
Gregory J. Maier  
Attorney of Record  
Registration No. 25,599  
Raymond F. Cardillo, Jr.  
Registration No. 40,440

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: KAORI UMEZAWA, ET AL.

GAU:

SERIAL NO: NEW DIV. APPLICATION

EXAMINER:

FILED: HEREWITH

FOR: SUBSTRATE HAVING SHALLOW TRENCH ISOLATION AND METHOD OF MANUFACTURING THE SAME



REQUEST FOR PRIORITY

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

- ☒ Full benefit of the filing date of U.S. Application Serial Number 08/751,438, filed 11/20/96, is claimed pursuant to the provisions of 35 U.S.C. §120.
- ☐ Full benefit of the filing date of U.S. Provisional Application Serial Number , filed , is claimed pursuant to the provisions of 35 U.S.C. §119(e).
- ☒ Applicants claim any right to priority from any earlier filed applications to which they may be entitled pursuant to the provisions of 35 U.S.C. §119, as noted below.

In the matter of the above-identified application for patent, notice is hereby given that the applicants claim as priority:

<u>COUNTRY</u>	<u>APPLICATION NUMBER</u>	<u>MONTH/DAY/YEAR</u>
Japan	P7-302993	11/21/95

Certified copies of the corresponding Convention Application(s)

- ☐ are submitted herewith
- ☐ will be submitted prior to payment of the Final Fee
- ☒ was submitted in Application Serial No. 08/751,438 filed November 20, 1996
- ☐ were submitted to the International Bureau in PCT Application Number .  
Receipt of the certified copies by the International Bureau in a timely manner under PCT Rule 17.1(a) has been acknowledged as evidenced by the attached PCT/IB/304.
- ☐ (A) Application Serial No.(s) were filed in prior application Serial No. filed ; and  
(B) Application Serial No.(s)
  - ☐ are submitted herewith
  - ☐ will be submitted prior to payment of the Final Fee

Respectfully Submitted,

OBLON, SPIVAK, McGLELLAND,  
MAIER & NELSTADT, P.C.

Gregory J. Maier

Registration No. 25,599

Attorney of Record

Raymond F. Cardillo, Jr.

Registration No. 40,440

Fourth Floor  
1755 Jefferson Davis Highway  
Arlington, Virginia 22202  
Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 11/98)